



ITW

BAKER BOTTS

Please type a plus sign (+) inside this box →

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10,801,109
	Filing Date	March 15, 2004
	First Named Inventor	Imai et al.
	Group Art Unit	To be assigned
	Examiner Name	To be assigned
Total Number of Pages in This Submission	Attorney Docket Number	A36197 (074224.0133)

ENCLOSURES <i>(check all that apply)</i>		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers <i>(for an Application)</i> <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i> <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i> PTO Form 1449 Return Postcard
Remarks <input type="checkbox"/>		

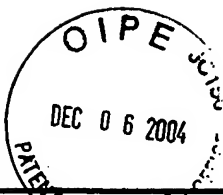
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	BakerBotts LLP 30 Rockefeller Plaza New York, NY 10112
Signature	 Att Name: Gary M. Butter PTO Reg: 38,587
Date	December 2, 2004

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450 on this date: <u>December 2, 2004</u>	
Typed or printed name	Gary M. Butter
Signature	
Date	December 2, 2004

Title: SEMICONDUCTOR LASER DEVICE AND SOLID-STATE LASER DEVICE USING SAME

Use Space Below for Additional Information:

BAKER BOTTS LLP



FEE TRANSMITTAL

for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 0

Complete if Known

Application Number	10,801,109
Filing Date	March 15, 2004
First Named Inventor	Imai et al.
Examiner Name	To be assigned
Art Unit	To be assigned
Attorney Docket No.	A36197 (074224.0133)

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

 Deposit
Account
Number
Deposit
Account
Name

02-4377

Baker Botts LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee required under 37CFR 1.16 and 1.17

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$) 0

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims - 20 = X = Fee Paid
 Independent Claims - 3 = X = Fee Paid
 Multiple Dependent X = Fee Paid

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

SUBMITTED BY

(Complete (if applicable))

Name (Print/Type)

Gary M. Butter

Registration No.
(Attorney/Agent)

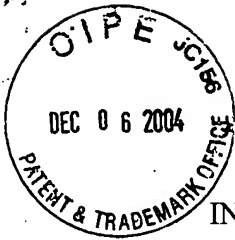
38,587

Telephone 212.408.2500

Signature

Date

December 2, 2004



A36197 (074224.0133)
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Imai *et al.*
Serial No. : 10/801,109 Examiner : To be assigned
Filed : March 15, 2004 Group Art Unit: To be assigned
For : SEMICONDUCTOR LASER DEVICE AND SOLID-STATE LASER
DEVICE USING SAME

INFORMATION DISCLOSURE STATEMENT

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Commissioner for Patents, Box 1450, Alexandria, VA 22313-1450.

December 2, 2004

Date of Deposit

Gary M. Butter

Attorney Name

Signature

33,841

PTO Registration No

December 2, 2004

Date of Signature

Commissioner for Patents
Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§1.97 and 1.98, applicants respectfully request that the documents listed below and on the accompanying PTO 1449 be considered by the Examiner and made of record in the above-referenced application. Copies of the listed foreign documents are enclosed.

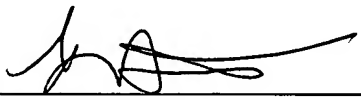
1. Japanese Patent Publication 2003057588 A, filed 08/10/2001, published 02/26/2003, "Shaping optical system for laser bar layered body and laser light source," Arata et al.
2. Japanese Patent Publication 2002239773 A, filed December 11, 2000, published August 28, 2002, "Device and method for semiconductor laser beam machining," Koji.
3. United States Patent No. 5,513,201, filed 4/28/1994, issued 4/30/1996, "Optical path rotating device used with linear array laser diode and laser apparatus applied therewith," Yamaguchi et al.

Identification of the listed documents is not to be construed as an admission of the applicants or attorneys for applicants that such citations are available as "prior art" against the subject application. If the Examiner applies the documents as prior art against any claim in the application and applicants determine that the cited documents do not constitute "prior art" under United States law, applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of the documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should the documents be applied against the claims of the present application.

Pursuant to 37 C.F.R. § 1.97(b)(3), this Information Disclosure Statement is being filed, the applicants believe, before the mailing date of a first Office Action on the merits. Thus, there should be no fee required for this submission. However, if any fee is required, or if any overpayment has been made, the Commissioner is hereby authorized to charge any fees, or credit or any overpayments made, to Deposit Account 02-4377.

Respectfully submitted,
BAKER BOTTS L.L.P.

By: 

Gary M. Butter
Patent Office Reg. No. 33,841

30 Rockefeller Plaza
44th Floor
New York, NY 10112
(212) 408-2546

Attorney for Applicants

Form PTO-1449 U.S. Department of Commerce (REV. 2-82) Patent and Trademark Office INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)	Atty. Docket No. A36197 (074224.0133)	Serial No. 10/801,109
	Applicant Imai <i>et al.</i>	
	Filing Date March 15, 2004	Group To Be Assigned
	Examiner To Be Assigned	

U.S. PATENT DOCUMENTS							
*Exam. Initial.	No.		Document No.	Date	Name	Class	Filing Date if Approximate.
			5,513,201	4/30/1996	Yamaguchi et al	372	75

FOREIGN PATENT DOCUMENTS							
Exam Initial	No.		Document No.	Date	Country	Class	Subclass
			JP A 2003-057588	02/26/2003	Japan		
			JP A 2002-239773	08/28/2002	Japan		

Exam Initial	No.		OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)

NY02:505837.2
Examiner _____ Date Considered _____

* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.